UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/832,319	04/09/2001	Robert Houben	41696/DBP/L379	8790

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EXAMINER
NGUYEN BA, PAUL H

ART UNIT	PAPER NUMBER
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Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>11 April 2006</u>.

2a)☒ This action is **FINAL.**   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-4,7-9,12-14,18,19,24-26,29-31,35-38,41-43,46-49 and 52-67* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-4,7-9,12-14,18,19,24-26,29-31,35-38,41-43,46-49 and 52-67* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☐ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date _____.

4)☒ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. *4/6/2006* .

5)☐ Notice of Informal Patent Application (PTO-152)

6)☐ Other: _____.

DETAILED ACTION

Notice to Applicant

1.   This action is responsive to Applicant's Amendments and Arguments filed on

April 11, 2006.

2.   Claims 1-4, 7-9, 12-14, 18, 19, 24-26, 29-31, 35-38, 41-43, 46-49, and 52-67 are

currently pending. Claims 1, 7, 18, 24, 35, and 41 are independent claims.

Claim Rejections - 35 USC § 103

3.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

4.   Claims 1-4, 7-9, 13, 14, 18, 19, 24-26, 30, 31, 35-38, 41-43, 47, 48, and 52-67

are rejected under 35 U.S.C. 103(a) as being unpatentable over Cascio et al.

("Cascio"), U.S. Patent Application Publication No. 2002/0091818, in view of

Meltzer et al. ("Meltzer"), U.S. Patent Application Publication No. 2002/0165872.

Regarding independent claim 1, Cascio teaches:

A computer-implemented method for processing an incoming document (see Abstract), *comprising:*

> *providing, under control of the computer, at least one personality document, the personality document defining a plurality of business operations* (see Fig. 3 – *item* 300; see also [0023], [0025], [0052] → Cascio defines a business model including data extraction (processing) rules, each of the rules comprising one or more rule components for executing the business model (*compare with* "personality document")) *and a behavior document associated with each business operation, each document defining a plurality of actions for conducting the associated business operation* (see Fig. 3 – *items* 310 and 320; see also [0025] and [0070] → Cascio defines hierarchically structured templates that are associated with the one or more of the data extraction rules (*compare with* "behavior document"));

> *accepting the incoming document* (see [0025] and [0047] → Cascio teaches extracting data from an incoming legacy data stream);

> *reading, under the control of the computer, the personality document and testing the (...) incoming document based on the personality document for recognizing the incoming document* (see Fig. 3 – *items* 340, 350; see also [0025] and [0052] → Cascio teaches comparing the incoming document with the rules);

> ➤ *selecting a behavior document based on the recognized incoming document* ([0026], [0052], and [0070] → Cascio teaches associating the rule components to a particular template (i.e. "behavior documents"));

> ➤ *routing incoming document to the selected behavior document* (see Fig. 3 and [0052] → Cascio teaches moving a packet of data from source (i.e. incoming document) to destination (i.e. behavior document)); and

> ➤ *under control of the computer, applying the plurality of actions defined in the selected behavior document to the incoming document and conducting the business operation associated with the selected behavior document* (see [0025], [0026] → Cascio teaches applying the actions defined in the templates to the extracted data of the incoming document to transform the data into another notation).

Cascio, suggests a hierarchical representation of the document (see [0068] and [0070]), but does not explicitly teach generating a tree based representation of the incoming document.

However, Meltzer teaches generating a tree based representation of the incoming document (see [0096] → A tree builder takes a stream of events and generates a tree representation of the underlying document).

Since Cascio and Meltzer are both from the same field of endeavor, the

motivational purpose of enhanced support of queries around a document, reordering of

nodes, creation of new documents, and supporting a data structure in memory from

which the same event stream can be generated multiple times as disclosed by Meltzer

would have been recognized in the pertinent art of Cascio. It would have been obvious

at the time the invention was made to a person having ordinary skill in the art to modify

the teaching of Cascio with the teachings of Meltzer to include generating a tree based

representation of the incoming document.

Regarding claims 2, 13, 19, 30, 36, 46, Cascio, in view of Meltzer, teach

extracting complex data components from structured data such as XML documents (see

[0020], [0047], and [0077] → Cascio teaches personality, behavior, serving, incoming,

and working documents).

Regarding claims 3, 4, 8, 9, 25, 26, 37, 38, 42, and 43, Cascio , in view of

Meltzer, teach translating the incoming document to a working document and translating

the working document to an outgoing document and transmitting the outgoing document

via a communication network (see Cascio [0040]-[0046]).

With respect to independent claims 7, 24, and 41, please refer to the rationale

relied upon to reject substantially similar subject matter in independent claims 1, 18, and

35 as discussed above.

Furthermore, Cascio , in view of Meltzer, teach *selecting a translation document*

based on the recognized incoming document; translating the incoming document into a

working document having a standard document format based on the selected

translation document (see [0077] → Cascio teaches a transforming document that

translates an incoming document into a working document; see also [0023], [0025],

[0052]).

Regarding claims 14, 31, and 48, Cascio , in view of Meltzer, teach extracting

complex data components from structured data such as XML documents (see [0020],

[0047], [0077]); and *the selected translation document is a XSLT document* (see [0077];

see also [0023], [0025], [0052]).

Independent claims 18 and 35 incorporate substantially similar subject matter

as independent claim 1, and are rejected along the same rationale.

Claims 52-55 incorporate substantially similar subject matter as independent

claim 1, and are rejected along the same rationale.

Regarding claims 56, 58, 60, 62, 64, and 66, Cascio, in view of Meltzer, teach wherein the personality document further includes criteria information, and the testing includes testing the tree-based representation of the incoming document for a match based on the criteria information (see Fig. 3 – *items* 340, 350; see also [0025], [0052], and [0072] → Cascio teaches comparing and matching the incoming document against criteria rules defined in the business model).

Regarding claims 57, 59, 61, 63, 65, and 67, Cascio, in view of Meltzer, teach translating the incoming document having a first XML representation into a document having a second XML representation (see Fig. 3 – *items* 310 and 320; see also [0025] and [0070] → Cascio defines hierarchically structured templates that are associated with the one or more of the data extraction rules for translating the incoming document into a document having a second XML representation).

5.   **Claims 12, 29, 46 are rejected under 35 U.S.C. 103(a) as being unpatentable over Cascio et al. ("Cascio"), in view of Meltzer et al. ("Meltzer"), U.S. Patent Application Publication No. 2002/0165872 U.S. Patent Application Publication No. 2002/0091818, in further view of Walsh et al. ("Walsh"), U.S. Patent No. 6,810,429.**

Regarding claims 12, 29, and 46, Cascio, in view of Meltzer, do not explicitly teach *actions further include invoking a document parser.*

However, Walsh teaches invoking an enterprise integration system coupled to a

number of legacy data sources wherein the documents are parsed (see col. 14 lines 22-

26) for the purpose of processing XML documents according to the rules.

Since Cascio, Meltzer, and Walsh are from the same field of endeavor, the

purposes disclosed by Walsh would have been recognized in the pertinent art of

Cascio, in view of Meltzer. It would have been obvious at the time the invention was

made to a person having ordinary skill in the art to modify the teaching of Cascio, in

view of Meltzer, with the teachings of Walsh to include actions further include invoking a

document parser for the purpose of processing XML documents according to the rules.

6. **Claim 49 is rejected under 35 U.S.C. 103(a) as being unpatentable over

Cascio et al. ("Cascio"), U.S. Patent Application Publication No. 2002/0091818, in

view of Meltzer et al. ("Meltzer"), U.S. Patent Application Publication No.

2002/0165872, in further view of Chau et al. ("Chau"), U.S. Patent Application

Publication No. 2003/0014397.**

Regarding claim 49, Cascio, in view of Meltzer, do not explicitly teach: the

method wherein the personality document includes an XML path invoked for testing the

tree-based representation of the incoming document.

However, Chau teaches the method wherein the personality document includes an XML path invoked for testing the tree-based representation of the incoming document (see paras [0039], [0042], [0078] → Chau teaches a method for enabling an XML collection from existing tables of legacy business data utilizing the Xpath standard of the XML language).

It would have been obvious at the time the invention was made to a person having ordinary skill in the art to modify the teaching of Cascio, in view of Meltzer, with the teachings of Chau to include an XML path invoked for testing the tree-based representation of the incoming document for the motivational purpose of addressing parts of an XML document and navigating through the hierarchical structure of an XML document.

Response to Arguments

7.   Applicant's arguments filed on April 11, 2006 have been fully considered but they are not persuasive.

Applicant first contends that Cascio's collection of rules is not the recited "personality document" because they do not define "a plurality of business operations".

Examiner respectfully disagrees. The term "business operations" in itself is

extremely broad and encompasses the execution of nearly any commercial or economic

activity seeking to achieve an imperative. The Cascio system discloses a business

model for extracting data from a data stream using a rule-based approach. Each of the

rules comprises one or more rule components for executing the end-goal of the

business model (i.e., for transforming the data stream into well-formatted data that is

ready for integration with another application and/or transformation into another format

for display processing) (see Fig. 3 – *item* 300; see also [0023], [0025], [0052]) as set

forth in Applicant's broad pending claim language. Therefore, Cascio teaches the

recited "personality document".

Applicant next contends that Cascio does not teach the recited "behavior

document" because it does not define "a plurality of actions for conducting the

associated business operation".

Examiner respectfully disagrees. Cascio defines hierarchically structured

templates that specifically define a plurality of actions for conducting the associated

data extraction rules by transforming the data stream into well-formatted data that is

ready for integration with another application and/or transformation into another format

for display processing (see Fig. 3 – *items* 310 and 320; see also [0025], [0070], and

[0075]). Therefore, Cascio teaches the recited "behavior document".

Applicant finally contends that one of ordinary skill in the art would not be motivated to combine the teachings of Cascio with the teachings of Meltzer so as to generate a tree based representation of the incoming document. Specifically, Applicant contends that Meltzer requires an XML stream as the input for creating the tree representation and thus the modification of Cascio would require that a tree-based representation be generated before the XML document is generated.

Examiner respectfully disagrees. First, Meltzer does not require an XML event stream as the input like Applicant contends. The input event stream as taught by Meltzer is not limited to just XML. For instance, Meltzer teaches generating a stream of events which walks a tree of JAVA bean components. Thus, when combined with Cascio, it would have been obvious to one of ordinary skill in the art at the time of the invention to create a tree-based representation of the incoming document, no matter what the language the incoming document stream is written in.

Second, although Applicant's logic is difficult to follow (Applicant's remarks - pg. 18 1st paragraph), Examiner respectfully disagrees with the gist of Applicant's argument. The claim language, as currently presented, without reading limitations of the specification into the claim, does not preclude the incoming document from being an XML stream. This fact renders Applicant's argument moot.
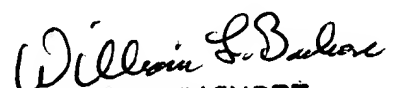
Conclusion

8.   **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time

policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE

MONTHS from the mailing date of this action. In the event a first reply is filed within

TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any

extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action. In no event, however, will the statutory period for reply expire later

than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Paul Nguyen-Ba whose telephone number is (571) 272-

4094. The examiner can normally be reached on 11 am - 7 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Heather Herndon can be reached on (571) 272-4136. The fax phone

number for the organization where this application or proceeding is assigned is 571-

273-8300.

WILLIAM BASHORE
PRIMARY EXAMINER

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PNB
7/6/06

WILLIAM BASHORE
PRIMARY EXAMINER